



GSA AWARD PIID: 47QFDA22F0007

**RISK AND CONTROLS SELF-ASSESSMENT (RCSA) PROGRAM
SUPPORT SERVICES**

IN SUPPORT OF:

**U.S. DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT (HUD)
GOVERNMENT NATIONAL MORTGAGE ASSOCIATION (GINNIE MAE)
OFFICE OF ENTERPRISE RISK (OER)
OPERATIONAL ANALYSIS DIVISION (ORAD)**

AWARDED TO:

KPMG, LLP

ISSUED BY:

**U.S. GENERAL SERVICES ADMINISTRATION (GSA)
FEDERAL ACQUISITION SERVICES (FAS)
REGION 11
1800 F. STREET, NW
WASHINGTON, DC 20006**

Performance Work Statement (PWS)

Risk and Controls Self-Assessment (RCSA) Program

Vision Statement

To strengthen and enhance Ginnie Mae's Risk and Controls Self-Assessment (RCSA) Program to promote an enterprise-wide holistic view of Ginnie Mae's operational risk profile utilizing comprehensive participation of each Business Unit (BU)/Division in identifying, assessing, and mitigating risk.

1 General Information

1.1 Introduction

The U.S. Department of Housing and Urban Development (HUD), Government National Mortgage Association (Ginnie Mae) Office of Enterprise Risk (OER), Operational Analysis Division (ORAD), is seeking a contractor to provide program management support for the continued development of and execution support for the Risk and Control Self-Assessment (RCSA) program performed across the enterprise. The role of Ginnie Mae's OER, ORAD division is to identify, assess, report and monitor risks and controls associated with operational processes, people, systems and external events. These activities are vital to the safety and soundness of our operations. Ginnie Mae's risk management framework and governance structure are intended to provide comprehensive control and ongoing management of the major inherent and programmatic residual risk associated with its business activities.

1.2 Background

Like any organization, Ginnie Mae faces inherent and residual operational risks that can prevent the achievement of organizational goals and objectives. How an organization chooses to manage this risk is what matters. Given Ginnie Mae's role in the secondary mortgage market, a wide variety of enterprise-wide operational risks must be monitored and proactively managed. Some risks are consistently present, highly visible, inherent, and broadly understood; others may be recognized at some level but may not be highly visible and fully understood; yet other risks may evolve over time or emerge suddenly. The RCSA Program focuses on Operational Risks but may identify current and emerging risks in other Ginnie Mae functional areas including, but not limited to, Credit, Market, Governance Oversight, Operations, Legal, Technology, Financial Management, and Strategic Risks. The RCSA Program prioritizes and manages Ginnie Mae's risk exposure as an interrelated portfolio rather than individual silos. Through this holistic approach, Ginnie Mae evaluates its risk portfolio in the context of internal and external environments, systems, circumstances, and applicable stakeholders.

Every employee of Ginnie Mae has a responsibility for risk management ownership. The OER is responsible for assisting each of Ginnie Mae's business units to recognize, understand, and establish appropriate strategies to mitigate identified risks. The integration of risk consideration into management decision-making and day-to-day operations, addresses the risk created by emerging events. The RCSA Program will assist each business unit in defining a tolerance for

specific risks. The RCSA Program thoroughly considers the cost and benefit of associated internal controls to manage risks.

Internal controls should not be an end unto themselves, rather a means of achieving mission goals and avoiding or mitigating risks to an acceptable level. Furthermore, consistent application of the RCSA Program, anchored in industry leading risk management practices, helps to eliminate management silos that introduce their own risks to the organization simply by considering risk in a piecemeal and ad hoc fashion. The RCSA Program enables Ginnie Mae's business units to better connect and integrate risk across the organization. The RCSA Program helps to streamline internal controls across the agency to enhance their value to Ginnie Mae's corporate governance.

Ginnie Mae's strategic vision for the RCSA program is not one of compliance, but rather one of risk culture, risk awareness, risk ownership, and risk advisement through the inclusion of risks as an integral part of day-to-day program management. Ginnie Mae will be most successful in managing risks if a high level of risk awareness exists within the collective eight (8) business units namely: Office of Chief Financial Officer (OCFO), Office of Issuer and Portfolio Management (OIPM), Office of Enterprise Risk (OER), Office of Capital Markets (OCM), Office of Securities Operations (OSO), Office of Management Operations (OMO), Office of Strategic Planning, Policy, and Communications (OSPCC), and Office of Enterprise Data & Technology Solutions (OEDTS).

The ORAD will work in partnership with our business units to implement the RCSA Program through a five-step iterative methodology to remediate identified risk and internal control gaps.

The Contractor will perform individual examinations of each of the eight (8) Offices within Ginnie Mae and support ORAD to determine risks, mitigation strategies and RCSA continuous improvement activities, in addition to its program management duties.

1.3 Constraints

The services identified in this Performance Work Statement (PWS) will adhere to the rules, regulations, laws, standards, and conventions identified by HUD as well as within the Federal Government. Constraints include the following:

Committee of Sponsoring Organizations of the Treadway Commission (COSO),
Enterprise Risk Management Integrating with Strategy and Performance,

<https://www.coso.org/Pages/erm.aspx>

The Green Book, Standards for Internal Controls in the Federal Government,

<https://www.gao.gov/assets/670/665712.pdf> September 2014

U.S. Department of Housing and Urban Development HUDAR,

https://www.hud.gov/program_offices/cpo/hudar

Federal Acquisition Regulation,

<https://www.acquisition.gov/browse/index/far>

Office of the Comptroller of Currency (OCC Bulletin 2013-29),

<https://www.occ.gov/news-issuances/bulletins/2013/bulletin-2013-29.html>

Services will also adhere to the Electronic Funds Transfer Act, Fair Debt Collection Practices Act, Real Estate Settlement Procedures Act and Foreign Corrupt Practices Act, among others.

1.4 Description of Services

The contractor shall provide all personnel, equipment, tools, materials, supervision, and non-personal services necessary to perform Risk and Control and Self-Assessment Services as defined in this Performance Work Statement except for those items specified as government furnished property and services. The contractor shall perform to the standards of the contract.

1.5 Scope: The contractor shall provide services to Ginnie Mae in support to continue the implementation of the RCSA program for all of its business units. The Contractor will review all eight (8) of Ginnie Mae's Offices and assess and update their documentation on an annual basis.

The support services shall include:

- Program Management
- Transition Services
- RCSA Program Execution
- RCSA Annual Maintenance
- Training Services
- Special Projects

Detailed descriptions of specific tasks are provided in Section 5 *Specific Tasks and Deliverables*.

1.6 Non-Personal Services

The Government will neither supervise Contractor employees nor control the method by which the Contractor performs the required tasks. Under no circumstances shall the Government assign tasks to, or prepare work schedules for, individual Contractor employees. It shall be the responsibility of the Contractor to manage its employees and to guard against any actions that are of the nature of personal services or give the perception of personal services.

If the Contractor believes that any actions constitute, or are perceived to constitute personal services, it shall be the Contractor's responsibility to notify the Contracting Officer (CO) immediately. These services shall not be used to perform work of a policy, decision making, or

management nature, i.e., inherently Governmental functions. All decisions relative to programs supported by the Contractor shall be the sole responsibility of the Government.

1.7 Special Qualifications

The Contractor shall have the following risk and compliance industry certifications:

- Certified Public Accountant (CPA)
- Certified Information Systems Auditor (CISA)
- Certified Internal Auditor (CIA)
- Certified Fraud Examiner (CFE)
- Committee of Sponsoring Organizations (COSO)
- Certified Government Financial Manager (CGFM)
- Project Management Professional (PMP)

All flowcharts from the Contractor shall be maintained and delivered in ARIS software (version 10 or newer), as all Ginnie Mae flowcharts are in ARIS. The Contractor will need to make updates to the existing Ginnie Mae flowcharts. Software will not be provided by the government.

1.8 Status Meetings

The Contracting Officer, Contracting Officer's Representative (COR), and Technical Point of Contact (TPOC) as appropriate may meet periodically with the Contractor to review Contractor performance, requirement status, etc. At these meetings, the TPOC will apprise the Contractor of how the Government views the Contractor's performance or progress of the requirement. The Contractor shall notify the Government of problems. Appropriate action shall be taken to resolve outstanding issues. Post Award Conference and subsequent meetings may be held via teleconference.

2 Definitions and Acronyms

2.1 Definitions

Business/Work-Days - Every official workday, Monday to Friday. This does not include public holidays and weekends.

Government Furnished Property (GFP) - Government-furnished property means property in the possession of, or directly acquired by, the Government and subsequently furnished to the Contractor for performance of a contract. Government-furnished property includes, but is not limited to, spares and property furnished for repair, maintenance, overhaul, or modification. Government-furnished property also includes contractor-acquired property if the contractor-acquired property is a deliverable under a cost contract when accepted by the Government for continued use under the contract.

Performance Requirements Summary (PRS) - A listing of the performance requirements under the contract that are to be evaluated by the Government on a regular basis, performance indicators for these requirements, performance standards for these requirements and surveillance methods to be used to determine if performance standards are met.

Performance Standard - The Contractor's performance level required by the Government.

Performance Work Statement (PWS) - A statement of work for performance-based acquisitions that describe the required results in clear, specific and objective terms with measurable outcomes.

Quality Assurance (QA) - Policies and procedures adopted by the Government to ensure that supplies and services acquired under Government contracts conform to the contracts quality requirements.

Quality Assurance Surveillance Plan (QASP) - A plan describing how the agency will survey, observe, test, sample, evaluate and document the Contractor's performance in meeting critical performance standards identified in the contract.

Quality Control (QC) - All necessary measures taken by the Contractor to assure that the quality of an end product or service shall meet contract requirements.

2.2 Acronyms

AQL - Acceptable Quality Level

CO - Contracting Officer

COR - Contracting Officer Representative

GAO - U.S. General Accounting Office

GFP - Government-Furnished Property

HUD - U.S. Department of Housing and Urban Development

HUDAR - HUD Acquisition Regulation

IG or OIG - Inspector General (Office of)

IT - Information Technology

KPI - Key Performance Indicator

KRI - Key Risk Indicator

OCFO - Office of the Chief Financial Officer

OCM - Office of Capital Markets

OEDTS - Office of Enterprise Data & Technology Solutions

OER - Office of Enterprise Risk

OIPM - Office of Issuer and Portfolio Management

OMB - Office of Management and Budget

OMO - Office of Management Operations

OSO - Office of Securities Operations

OSPPC - Office of Strategic Planning, Policy Communications

ORAD - Operational Analysis Division

PCA - Personnel Criticality Assessments

PM - Program Manager

POC - Point of Contact

PWS - Performance Work Statement

QA - Quality Assurance

QASP - Quality Assurance Surveillance Plan

QCP - Quality Control Plan

RCM - Risk and Controls Matrices

RCSA - Risk Control Self-Assessment

SAQ - Self-Assessment Questionnaire

TO Task Order

TOD - Test of Design

TPOC - Technical Point of Contact

3 Government-Furnished Property and Services

The Contractor shall ensure accurate control and accountability of all Government-Furnished Property (GFP) in accordance with the terms and conditions of this contract. The Government does not anticipate having to furnish property, other than meeting space for interviews and training which will be at no cost to the Contractor.

3.1 Facilities

The Government may provide the Contractor with office space, cubicle, or work area as needed for project status meetings, interviews, and testing.

3.2 Equipment and Software

No government equipment will be provided such as software (e.g., flowcharting software), computers, and access to local servers. Desk, chair, and guest internet services will be provided during visits.

3.3 Materials

The Government will provide RCSA related internal documents as needed to perform tasks.

Copies of required standard operating procedures or other policies may be provided to the Contractor in hard copy or soft copy. All materials will remain the property of the Government and will be returned to the COR upon request or at the end of the contract period.

3.4 Quality Assurance (QA)

The Government shall evaluate the Contractor's performance under this contract in accordance with the Quality Assurance Surveillance Plan (QASP). An organized written document specifying the surveillance methodology to be used for surveillance of contractor performance.

This plan is primarily focused on what the Government must do to ensure that the Contractor has performed in accordance with the performance standards. It defines how the performance standards will be applied, the frequency of surveillance, and the minimum acceptable quality level.

4 Contractor-Furnished Items and Services

The Contractor shall furnish all facilities, equipment, and supplies required to perform the work under this contract that are not listed under Government-Furnished Property and Services.

4.1 Facilities

The Contractor shall furnish all necessary facilities to meet the requirements under this TO.

4.2 Material

The Contractor shall furnish all materials to meet the requirements under this TO.

4.3 Contractor Responsibilities

The Contractor shall only conduct business with designated Government personnel listed as points of contact (POCs). Names of authorized personnel shall be provided to the Contractor by the Government, in writing, and updated as necessary throughout the contract period.

U.S. Government records, copies of original results and reports, verified original data, corrected data and corrected supporting final reports which are maintained by the Contractor remain the property of the U.S. Government. These files/results must be surrendered to the COR/PM.

4.4 Contractor Personnel

The Contractor shall provide a Program Manager/PM who shall be responsible for the performance of work. An alternate shall also be designated to act in the absence of the Program Manager/PM. These Contractor personnel (main point of contact and alternate point of contact) are considered Key Personnel by the Government and shall be listed as such in accordance with HUDAR 2452.237-70, "Key Personnel". The Program Manager/PM and alternate shall have full authority to act on all contact matters relating to daily operations of this contract. Accordingly, at a minimum, the points of contact shall have the technical knowledge of the requirement and be in the position to receive assignment, guidance, and direction from the COR, PM, and CO per HUDAR 2452.237-73, "Conduct of Work and Technical Guidance" and shall be allocated enough hours to the requirement to ensure successful performance. These points of contact shall each be an employee of the Contractor. The Program Manager/PM or alternate shall be available between the hours of 8:00am to 4:30pm Monday through Friday EST, except Federal Holidays or when the Government facility is closed for administrative reasons.

4.5 Identification of Contractor Employees

All Contractor/subcontractor personnel shall wear company picture identification badges at all times during which the employee is performing work under this contract to distinguish themselves from Government employees. When conversing with Government personnel during business meetings, over the telephone, or via electronic mail, Contractor/subcontractor personnel shall identify themselves as such to avoid creating an impression in the minds of members of the public that they are Government officials. Contractors/subcontractors shall identify themselves on any attendance sheet or any coordination documents they may review. Electronic mail signature blocks shall identify their company affiliation. Where practicable, Contractor/subcontractors occupying collocated space with their Government program customers shall identify their workspace area with their name and company affiliation, or at a minimum, "Contractor" after name.

4.5.1 Personal Identity Verification (PIV) Card

The performance of this contract requires contractor employees to have access to Ginnie Mae system(s). All such employees who do not already possess a current PIV Card acceptable to Ginnie Mae shall be required to provide personal background information, undergo a background investigation (NACI or other OPM-required or approved investigation), including an

FBI National Criminal History Fingerprint Check, and obtain a PIV Card prior to being permitted access to any such system in performance of this contract. Ginnie Mae may accept a PIV Card issued by another Federal Government agency but shall not be required to do so. No contractor employee will be permitted access to any Ginnie Mae system without a PIV Card.

All contractor employees who require access to mission-critical systems or sensitive information contained within a HUD system or application(s) are required to have a more extensive background investigation. The investigation shall be commensurate with the risk and security controls involved in managing, using, or operating the system or applications(s).

5 Specific Tasks

5.1 Task One - Program Management

The Contractor shall provide program management support under this task order (TO). This includes the management and oversight of all activities performed by contractor personnel, including subcontractors, to satisfy the requirements identified in this TO.

5.1.1 Program Management Plan

5.1.1.1 Project Work Plan (PWP)

The Contractor shall develop and maintain, throughout the TO period of performance, a Project Work Plan (PWP) that shall be used as a foundation for information, scheduling and resource management planning. The PWP is a dynamic document in Microsoft Project that shall be updated monthly, at a minimum, or as needed. The Contractor shall develop and submit a draft PWP for all PWS tasks including subsections for each of the eight (8) Offices RCSA annual reviews and assessments in accordance with the tasks and deliverables schedule. The Contractor shall deliver the draft PWP to the Government within seven (7) business days after TO award.

The Contractor shall update the draft PWP based on additional input and feedback from Ginnie Mae on the specific scheduling requirements for each of the eight (8) Offices RCSA annual reviews and assessments. Given that the RCSA has many dependencies on Ginnie Mae key stakeholders' schedules and availability, the PWP and associate project schedule will be updated monthly throughout the annual RCSA review and assessment process. Provisions will be established to update the PWP at appropriate junctures, as specified by the TPOC in coordination with the COR. The Contractor shall work from the latest Government-approved version of the PWP.

The Project Work Plan will include the following items:

1. Identify the project name, purpose and general timeline
2. Put your work plan into context

3. Establish your goals and objectives
4. Define and coordinate your resources
5. Understand your constraints
6. Discuss risks and accountability

At a minimum the Project Work Plan will identify information such as, but not limited to:

- a. Purpose of the RCSA review and assessment
- b. Scope of the RCSA review and assessment
- c. Assessment and evaluation methodology
- d. Personnel and Level of Effort
- e. Materials required
- f. Key participants and roles and responsibilities
- g. Performance criteria
- h. Communication, project risk management and Quality Control
- i. Project timelines and milestones for each task and subtask to include scheduling in an overall Work Breakdown Structure (WBS) with associated responsibilities. The project timeline should identify each of the milestones to be accomplished to meet the requirements of the PWS. Each milestone will have a projected completion date, a summary of the required activities and identification of any input required from the Government. The project timelines and milestones should include the end-to-end RCSA process for completing the annual Final RCSA Assessment Report for each of the eight Offices:
 1. Document and Flowchart Process
 2. Assess and Examine Effectiveness
 3. Analysis and Implementation Strategies
 4. Final Assessment Report
 5. Lessons Learned Summary

Deliverables

A001 Draft and Final Project Work Plan

5.1.1.2 Scope Assessment

To determine and appropriately size the RCSA review and assessment for each Office, the Contractor will support Ginnie Mae staff to assess project scope by performing a Scope Assessment to include:

- a. The scope for gathering existing SOPs, information, and conducting interviews with each Office.
- b. Reviewing new documentation and/or updates comparing them to existing documentation, narratives, and flowcharts for business processes, key controls, corrective action plans and gap mitigation. This includes scoping the effort required for completing gap mitigation follow-up at the program and Office level including validating and tracking corrective action plan progress.
- c. Defining materiality (financial impact assessments), risk appetite, management oversight structure, and governance responsibilities and expectations in accordance with ORADs policies and procedures for conducting RCSA.
- d. Aligning business processes with the Enterprise Risk Register and Risk Taxonomy.
- e. Identifying and updating risk metrics for measurement of RCSA Program performance.

- f. Performing and completing the Assessment Plans, the Risk Assessment and Evaluation Report, Risk Registers, RCM, the Risk Identification and Gap Analysis Report, the Interview Summary Report, and the Final Assessment Report for each of the eight (8) Offices.
- g. The Scope Assessment should include support of RCSA planning activities, brown bags, training, exit and related inter-program meetings.

Deliverables

A002 Scope Assessment for eight (8) offices (OIPM, OER, OEDTS, OCM, OMO, OSO, OCFO, and OSPPC). Include all data and/or information required to re-create and/or modify deliverables, without the contractor assistance, in its entirety.

5.1.2 Weekly Status Meetings & Reports

The Contractor shall inform the Government of problems, if any, being experienced. Appropriate action shall be taken to resolve outstanding issues. Post Award Conference and subsequent meetings may be held via teleconference. The Contractor shall provide the TPOC and COR minutes of these meetings, including attendance, issues discussed, decisions made, and action items assigned, within two (2) business days following the meeting.

By the second day of each work week, the Contractor PM shall develop and provide a Weekly Status Report using Microsoft (MS) Office Suite format to the TPOC and COR. The Weekly Status Report shall include:

1. Activities during reporting period, by task (on-going activities, new activities, activities completed; progress to date on all above-mentioned activities). Start each section with a brief description of the task.
2. Problems, risks, issues and corrective actions taken or proposed resolutions to address them.
3. Personnel gains, losses, and status (security clearance, etc.).
4. Government actions required.
5. Schedule (show major tasks, milestones, and deliverables; planned and actual start and completion dates for each).
6. Accumulated invoiced price for each CLIN up to the previous month.
7. Projected price of each CLIN for the current month.

Deliverables

A003 Weekly Status Reports

5.1.3 Quality Control Plan

The Contractor shall establish and maintain a complete quality control program that shall ensure services are performed in accordance with this contract. The Contractor shall develop and implement procedures to identify, prevent, and ensure non reoccurrence of defective services. The Contractor's quality control program is how the Contractor assures that the work produced complies with contract requirements. The Contractor shall provide the associated Quality Control Plan (QCP) to the Government as directed.

The Contractor shall develop, maintain, enforce, and document a Quality Control Plan (QCP). The QCP shall ensure the Government receives the level of quality that is consistent with the requirements specified in this contract. The QCP shall be sufficiently detailed to provide the Contractor's methodology for identifying and recruiting qualified personnel. The QCP shall also provide the Contractor's methodology for establishing an internal feedback system for support personnel, and for resolving problems identified by that feedback system. The QCP shall demonstrate and validate that the services or deliverables to be provided under the contract are completed with a level of quality that meets the minimum performance threshold established in the Government's Performance Requirements Summary (PRS) The QCP shall address Quality Management Approach, Quality Assurance, Quality Control and Quality Standards.

The Contractor's QCP shall be delivered to the COR and TPOC within 30 days after contract award. The QCP shall be submitted to the COR/TPOC within 5 business days when changes are made thereafter. After acceptance of the QCP, the Contractor shall receive the Contracting Officer's acceptance in writing of any proposed change to its quality control system.

Deliverables

A004 Quality Control Plan

5.2 Task Two - Transition Services

5.2.1 Transition-Out

The Contractor shall furnish Transition-Out services during the final thirty (30) calendar days of the end of the period of performance as required. The Contractor shall perform all services necessary to transition the work performed under this task order to the Government or another Contractor at the conclusion of this TO. The transition-out period may occur at the end of any performance period.

a. Ginnie Mae's Transition-Out objectives are to assist Ginnie Mae in the transition to any future contract(s) or restructuring of future services; to ensure the successful transition of all activities to the incoming Contractor; and to make every reasonable effort to ensure that there is no interruption in critical services during the transition-out period.

b. The Contractor shall provide Transition-Out support when required by the Government including:

1. Coordinate and cooperate with Ginnie Mae and incoming Contractor and provide all reasonable assistance to ensure a successful transition;
2. Ensure that activities performed under the TO have been adequately documented and provide copies in electronic and/or hard copy format to Ginnie Mae;
3. Update and provide to Ginnie Mae electronic and hard-copy documentation including but not limited to process flows, workpapers, documentation and procedures necessary to perform activities under the TO; and
4. Establish and maintain effective communication with the incoming Contractor / Government personnel for the period of the transition via weekly status meetings or as often as necessary to ensure a seamless transition-out.

c. The Contractor shall provide a draft Transition-Out plan within six (6) months of project start. The Contractor shall provide the final Transition-Out plan within 10 business days of receiving Ginnie Mae's comments on the draft plan. At a minimum, the Transition-Out Plan shall be reviewed and updated on an annual basis; and updated quarterly during the final Option Period as needed. The Transition-Out Plan shall identify how the Contractor will coordinate with the incoming Contractor and/or Ginnie Mae to transfer knowledge about:

1. Program and project management processes;
2. POCs;
3. Location of technical and project management documentation;
4. Status of ongoing technical initiatives;
5. Appropriate contractor to contractor coordination to ensure a seamless transition;
6. Transition of Key Personnel knowledge;
7. Schedules and milestones; and
8. Actions required of the Government.

Deliverables

A005 Draft and Final Transition Out Plan

5.3 Task Three - RCSA Execution

A thorough understanding of the Offices' business processes and controls (i.e., manual and automated, key and non-key) is required as the basis for the RCSA.

5.3.1 Kick-off Meeting

The Contractor shall attend any post award conference convened by the contracting activity or contract administration office in accordance with FAR Subpart 42.5. The Government intends to convene a Post Award Conference with the Contractor within ten (10) business days after contract award. The CO will notify the Contractor of the specific date, location, and agenda within five (5) business days after contract award.

5.3.2 Information/Documentation

5.3.2.1 Information Gathering

The Contractor shall leverage existing documents and incorporate into documentation the information gathered during the initial review on any Office and/or its Division. The Initial Review should also incorporate any findings from OMB A-123, the U.S. General Accounting Office (GAO), OMB, Office of Inspector General (OIG), and Operational Incidents that have occurred during the previous year.

Additionally, the Contractor shall:

1. Develop interview questions, questionnaire forms and templates.
2. Interview Process Owners: Facilitate and/or participate in Business Unit Subject Matter Expert (SME) interviews and business process walkthroughs with Ginnie Mae personnel.

The Contractor will produce and distribute detailed meeting minutes at the end of each Business Unit SME interview session to the TPOC and COR or designee within three (3) business days of the interview and/or business process review.

Performance Standards

Standard: Completes actions within specified deadlines and deliverables are accurate and contain all required information.

AQL: End products shall conform to the established requirements of the project with minimal revisions for spelling and grammatical changes.

Deliverables

A006 Information Gathering for eight (8) offices (OIPM, OER, OEDTS, OCM, OMO, OSO, OCFO, and OSPPC). Include all data and/or information gathered in its entirety.

A007 Interview questions, questionnaire forms and templates, completed for eight (8) offices (OIPM, OER, OEDTS, OCM, OMO, OSO, OCFO, and OSPPC).

5.3.2.2 Documenting and Flowcharting Business Processes

The Contractor must have a thorough understanding of the Offices' business processes and controls (i.e., manual and automated, key and non-key) which are required as the basis for the RCSA. To meet these requirements, the Contractor shall create the business process hierarchies and flowcharts by capturing information for business processes, policies, SOPs, and information technology (IT) systems. The Contractor shall:

- a. Prepare Business Process Flowcharts, document key controls and identify risk universe for all Offices. Document the results of the interviews and walkthroughs. At minimum, the Contractor shall update or create documents and flowcharts of the current business process hierarchies, risk ownership, key controls, as well as update the Risk Register and track corrective actions for mitigating risks to Ginnie Mae. The document and flowcharts will be sent to the TPOC and COR or designee for review, approval, and upload to project document repository.
- b. Define risk appetite, key risks, key decisions, and sampling methodology for each business unit.
- c. Develop assignment of identified risk ownership with business Offices and Divisions.
- d. Align organizational structure with the activities of primary users.

Performance Standards

Standard: Completes actions within specified deadlines, and deliverables are accurate and contain all required information.

AQL: End products shall conform to the established requirements of the project with minimal revisions for spelling and grammatical changes.

Deliverables

A008 Business Process Flowcharts for eight (8) offices (OIPM, OER, OEDTS, OCM, OMO, OSO, OCFO, and OSPPC). Include all data and/or information required to recreate and/or

modify deliverables in its entirety, without contractor assistance.

5.3.3 Assessment and Analysis

5.3.3.1 Assess Risk and Examine Effectiveness of Controls

The Contractor shall perform risk identification, risk assessments, gap analysis, ratings, reporting, exit meetings, track corrective actions, and propose recommendations for remediation of control deficiencies, gaps, and areas of significant risk to the organization.

The Contractor shall assess the first line of defense:

a. Utilize the assessment and evaluation methodology stated in RCSA procedures (e.g. tools and template document) for performing risk assessment and determining the design effectiveness Test of Design (ToD) of Ginnie Mae's current key business level controls. The assessment and evaluation methodology and Assessment Plan should determine the type of test(s) and test data required to be able to demonstrate the design effectiveness for controls and to identify control gaps. The documented assessment and evaluation methodology, process, and Assessment Plans must be approved by TPOC or designee prior to any assessments being performed.

1. Develop Assessment Plans: It is expected the Assessment Plan will include, but not be limited to the following:
 - a. Risk Definition, Ranking and Impact
 - b. Control Objective
 - c. Timing of Control
 - d. Test Criteria and Expected Results
 - e. Control Type
 - f. Complexity of Control
 - g. Frequency of Control
2. Develop interview questions, questionnaire forms and templates.
 - a. Questionnaire forms include the Risk Control Self-Assessment questionnaire, the Personnel Criticality Assessment (PCA) questionnaire and the Fraud Walkthrough Questionnaire (FWQ).
3. The Contractor shall track the progress on existing gaps, identify new gaps, provide mitigation plans, perform testing of internal control design based on sample data and conduct risk and controls assessment for mitigating risks to Ginnie Mae.
4. Document control activities and resulting impact scores. Document the key operational controls and the associated risks in the Risk and Controls Matrices (RCM), and Ginnie Mae's Risk Register for all the Offices. Assist in Exit Meetings and prepare meeting minutes.
 - a. The RCMs shall include, but not limited to the control description, the control objective, the control samples, the control risk, the frequency of the control, key or non-key control, the control owner, preventive or detective control, manual or automated control, the IT systems associated with the control, and risk rating, etc.
 - b. The Risk Register shall include, but not limited to; risk description, key risk

indicators (KRI), risk owner, risk taxonomy, impact, probability of occurrence, and risk score (heat map).

5. Utilize quantitative and qualitative techniques and measures to assess impact and document results and risk impacts.
6. Prepare draft and final Risk Assessment and Evaluation Report. Once final, the Contractor shall distribute the report and collect concurrence documents signed by the process owners.

Performance Standards

Standard: Completes actions within specified deadlines and deliverables are accurate and contain all required information.

AQL: End products shall conform to the established requirements of the project with minimal revisions for spelling and grammatical changes.

Deliverables

A009 Assessment Plans for eight (8) offices (OIPM, OER, OEDTS, OCM, OMO, OSO, OCFO, and OSPPC). Include all data and/or information required to recreate and/or modify deliverables in its entirety, without contractor assistance.

A010 Risk Assessment and Evaluation Report and Concurrence Documents, Risk Register, and Risk and Controls Matrix (RCM) for eight (8) offices (OIPM, OER, OEDTS, OCM, OMO, OSO, OCFO, and OSPPC). Include all data and/or information required to recreate and/or modify deliverables in its entirety, without contractor assistance.

A011 Exit Meeting Minutes

5.3.3.2 Analysis and Implementation Strategies

The Contractor shall follow Ginnie Mae's procedures for facilitating sessions with business owners to assess, evaluate and determine the Test of Design (ToD) of the control that is used to mitigate and/or eliminate the risks for all Offices and affiliate division(s) being reviewed.

The Contractor shall:

- a. Develop control analysis and implementation strategies.
- b. Perform walkthroughs with business control owners.
- c. Obtain evidence that the performed procedure(s) are enough to evaluate the control effectiveness as described in Ginnie Mae's RCSA Standard Operating Procedures.
- d. Confirm the identified risks and key controls performed meet the control objective and business risk as described in Ginnie Mae's RCM.
- e. Document RCSA observations, results and gaps. Highlight any control weaknesses that could lead to a material weakness.
- f. Support the monitoring and tracking of corrective actions including creation of a review schedule/cycle calendar.
- g. Provide strategies and recommendations to mitigate and/or eliminate control weaknesses and significant risks and recommendations for remediation.
- h. Provide a Risk Identification and Gap Analysis Report which will be included in the Final

Assessment Reports for each Office. The report shall include, but not limited to:

1. Impact and Occurrence Analysis
2. Heat Maps
3. Gap Analysis
4. ToD Results
5. Risk Scoring

Performance Standards

Standard: Completes actions within specified deadlines , and deliverables are accurate and contain all required information.

AQL: End products shall conform to the established requirements of the project with minimal revisions for spelling and grammatical changes.

Deliverables

A012 Risk Identification and Gap Analysis Report for eight (8) offices (OIPM, OER, OEDTS, OCM, OMO, OSO, OCFO, and OSPPC). Include all data and/or information required to recreate and/or modify deliverables in its entirety, without contractor assistance.

5.3.3.3 Final Assessment Report

Following an RCSA review, the Offices and Divisions and support functions should have an updated view of their risks and controls. The RCSA Final Assessment Summary Report is prepared as an overview of the risk profile of the business unit functions and processes. The RCSA Final Assessment Summary Report should provide a transparent overview of the risk profile of the business unit, including emerging risks. It should form a conclusion as to the operational risk and compliance risk profile and the ongoing appropriateness of the control environment, including any known and emerging control weaknesses and identified actions. The RCSA review will also include the risk scores and heat maps.

The Contractor will develop an RCSA Final Assessment Summary Report after the Annual Review of each Office under review and in accordance with RCSA procedures. At minimum, the RCSA Final Assessment Summary Report should include, but not be limited to:

- a. Interview Summary Report. The Contractor shall provide an Interview Summary Report to Ginnie Mae. The draft Interview Summary Report is due based upon the agreed upon Project Work Plan for each Office. The final Interview Summary Report is due within ten (10) business days of receipt of the TPOCS written comments. The Contractor shall distribute and collect concurrence sheets signed by each Office's interviewees.
- b. Risk identification, risk assessment and testing results.
- c. The key changes that have taken place in the business (e.g., acquisitions, new products, new systems, new processes, restructures, significant growth and significant changes in the profile of the client base) since prior RCSA Assessment.
- d. External developments affecting the risk profile, such as regulatory change, focus or enforcement.
- e. At a high level, the impact these changes are having on the business, emerging issues, the risks and the control environment (e.g., transaction volumes, deal sizes, incidents and audit issues).

- f. Any risks outside of risk tolerance.
- g. Risk acceptances including a summary of the current material acceptances.
- h. Businesses and support functions including significant themes highlighted by their support functions.
- i. An update on assurance conducted over the risk and control environment.
- j. Conclusion on the risk profile and appropriateness of the control environment. The RCSA Summary should be a concise document.
- k. Control gaps and whether compensating controls exist that mitigate the identified risk. Each gap document should also provide specific mitigation strategies to provide value added recommendations which can be utilized by the corporation to improve the deficient control.
- l. Risk Rating Scores (Enterprise and Offices) and heat maps.
- m. Report status of corrective actions, gap mitigation and provide risk mitigation recommendations and strategies.

Performance Standards

Standard: Completes actions within specified deadlines, and deliverables are accurate and contain all required information.

AQL: End products shall conform to the established requirements of the project with minimal revisions for spelling and grammatical changes.

Deliverables

A013 Interview Summary Report and Concurrences Documents for eight (8) offices (OIPM, OER, OEDTS, OCM, OMO, OSO, OCFO, and OSPPC). Include all data and/or information required to recreate and/or modify deliverables in its entirety, without contractor assistance, and the last draft version with redlines, notes and comments.

A014 RCSA Final Assessment Report for eight (8) offices (OIPM, OER, OEDTS, OCM, OMO, OSO, OCFO, and OSPPC). Include all data and/or information required to recreate and/or modify deliverables in its entirety, without contractor assistance.

5.4 Task Four: RCSA Annual Maintenance

5.4.1 RCSA Tools, Questionnaires, and Templates

As instructed by the COR/PM, the Contractor shall assist with follow-up on previously completed RCSA activities with select business units. The Contractor shall provide support for updating and creating tools and templates, guidance, questionnaires, and schedule/calendar. The Contractor shall also provide support for RCSA activities including reports, automation, training, Risk Register, Operating Incidents, and related activities as it pertains to the overall maturity of Ginnie Mae's RCSA Program.

Deliverables

A015 RCSA Tools, Forms, Templates, and Questionnaires. Include all data and/or information, required to recreate and/or modify deliverables in its entirety, without contractor assistance.

A016 Support RCSA Program Activities. Include all data and/or information, if any, required to recreate and/or modify deliverables in its entirety, without contractor assistance.

5.4.2 RCSA Governance Document Updates

The Contractor shall provide recommended updates to Ginnie Mae's RCSA governance documents (charter, policy, procedures, flowcharts, RACI, trifold, etc.) annually.

a. **Governance Documents:** Annually, the Contractor shall review and recommend updates to Ginnie Mae's RCSA governance documents including charter, policy, SOPs, flowcharts, and RACI. Ginnie Mae has one (1) charter, one (1) policy, one (1) SOP document related to this task. The Contractor shall also update relevant RCSA templates as well as RCSA supporting documentation including, flowcharts, heat maps, dashboards, metrics, calendar, Risk Registers, appendices, process narratives, questionnaires, KPIs, KRIs, and risk appetites.

b. **Trifold:** On an annual basis, the Contractor shall assist Ginnie Mae by utilizing the content from the charter, policy and procedure to update a trifold regarding the RCSA program. Ginnie Mae uses the trifold to provide stakeholders an overview of Ginnie Mae's RCSA program. It explains the program's methodology, goals and expected outcomes. Please see *Attachment C2 Program Trifold Example*.

Deliverables

A017 Draft and Final Charter. Include the last draft version of the RCSA Charter with redlines, notes and comments.

A018 Draft and Final Policy. Include the last draft version of the RCSA Charter with redlines, notes and comments.

A019 Draft and Final SOP. Include the last draft version of the RCSA Charter with redlines, notes and comments.

A020 RCSA Supporting Documentation, as directed by the COR/PM.

A021 Draft and Final ERM Program Trifold. Include the last draft version of the Trifold with redlines notes and comments. Include all data and/or information required to recreate and/or modify deliverables in its entirety, without contractor assistance.

5.4.3 Corrective Actions

The Contractor shall develop, and update RCSA monitoring and tracking reports of Corrective Actions, mitigation plans, and related activities annually for the eight (8) Offices and their Business Units.

Performance Standards

Standard: Completes actions within specified deadlines, and deliverables are accurate and contain all required information.

AQL: End products shall conform to the established requirements of the project with minimal revisions for spelling and grammatical changes.

Deliverables

A022 Monitoring and Tracking Reports of Corrective Actions and Mitigation Plans, as needed for eight (8) offices (OIPM, OER, OEDTS, OCM, OMO, OSO, OCFO, and OSPPC). Include all data and/or information required to recreate and/or modify deliverables in its entirety.

5.4.4 Assist in the RCSA Mid-Year Corrective Action Follow-up Reviews

The Contractor shall assist the ORAD Analyst in the Mid-Year Corrective Action Follow-up Review of the eight (8) Offices every six (6) months by preparing and updating the templates and preparing the calendar for review of the eight (8) Offices. This includes conducting interviews, preparing and evaluating corrective action plans, identification and resolution of Operational Incidents, preparing questionnaires, updating the RCSA risk rating scores templates, and the Mid-Year Follow-up Reviews and Reports, as needed.

Deliverables

A023 RCSA Mid-Year Corrective Action Follow-up Review for eight (8) offices (OIPM, OER, OEDTS, OCM, OMO, OSO, OCFO, and OSPPC). Include all data and/or information required to recreate and/or modify deliverables in its entirety, without contractor assistance.

5.5 Task Five - RCSA Training

The Contractor shall prepare and conduct annual RCSA Training for Ginnie Mae employees, as directed by the COR/PM. The Contractor shall submit a draft and final of the RCSA Materials for review and approval by the COR/PM. The Contractor shall conduct this training with Ginnie Mae staff at the CORs/PM's direction once a year. The training session typically takes approximately two (2) hours.

Deliverables

A024 Draft and Final RCSA Training Materials. Include all data and/or information required to recreate and/or modify deliverables in its entirety, without contractor assistance.

A025 Draft and Final RCSA Training.

5.6 Task Six - Special Projects

This work shall be obtained via issuance of individual TOs issued by the CO priced on a time and material basis.

5.6.1 Risk Assessments

The data gathered in the RCSA Annual Review is beneficial and available to all Division

programs. Because of this, the ORAD Director may request the Contractor to perform additional risk assessments within the RCSA program or in conjunction with other ORAD programs.

The Contractor shall be responsible for demonstrating proactive project management to ensure timely completion of the additional work that satisfies all requirements specified by the COR/PM. Additional work are below, but not limited to this list:

a. Data, reports or other requests of RCSA from other agencies, such as the OCC, OIG, Financial Protection Bureau, Federal Housing Finance Agency, OMB, GAO, Congress, HUD, auditors, AICPA, FISCAM, FISMA and CSF. Ginnie Mae may require the Contractor to draft and finalize documentation which addresses these external requests efficiently and effectively, such as assessments, reporting, reviews, analyses, etc. The COR/PM will determine the need to exercise and implement this requirement. For example, the COR/PM may direct the Contractor to research RCSA data and develop a report for Ginnie Mae's response to an OIG request.

b. Providing RCSA data and reports to other ORAD programs to assist in reporting and analysis of their regular responsibilities or ad hoc projects. For example, the COR/PM may direct the Contractor to create a list of Risk Controls identified during the RCSA review for other ORAD programs in their response to external auditors.

5.6.2 Improvements/Efficiencies Development

The Contractor will be expected to identify and develop improvements and efficiencies to/for the RCSA Program. Any improvements and/or efficiencies identified by the contractor shall be presented and approved by the COR/PM before being accepted and acted upon. The Contractor shall be responsible for demonstrating proactive project management to ensure timely completion of the additional work that satisfies all requirements specified by the COR/PM.

5.6.3 Supporting ERM

The data gathered in the RCSA Annual Review is utilized in Enterprise-wide Risk Management including risk taxonomy of processes, risks, and internal controls to enable aggregation and comparison across all divisions. As such, the Contractor may be requested to provide data and reports to ERM program.

Deliverables

A026 Draft and Final RCSA Special Projects. Include all data and/or information required to recreate and/or modify deliverables in its entirety.

5.6.4 Quality Assurance Surveillance Program (QASP)

The Contractor shall develop and submit a proposed quality assurance surveillance plan for the Government's consideration in development of the Government's plan. The QASP, at a minimum, shall address how each performance objective is linked to a method of inspection

incorporated in the QASP. The QASP will identify what is going to be inspected and the documentation of inspection discrepancy identification and correction. The QASP process should contain, at a minimum, the following elements:

- a. Purpose
- b. Roles and Responsibilities
- c. Performance Requirements and Assessments
- d. Performance Reporting

Deliverables

A027I Draft quality assurance surveillance program document due within 30 days after task order award.

6 Deliverables

The Contractor shall complete all work and submit all deliverables as specified herein. The Government reserves the right to make changes to delivery dates.

Number	Name	Frequency
A001	Draft and Final Project Work Plan	Monthly
	With subsections for eight (8) offices (OIPM, OER, OEDTS, OCM, OMO, OSO, OCFO, and OSPPC)	Submit draft within seven (7) business days after TO award.
A002	Scope Assessment	Annually
A003	Weekly Status Reports	Weekly
		Submit by the second day of each work week.
A004	Quality Control Plan	Annually or as instructed by TPOC/COR.

		Submit draft within 30 days after TO award.
A005	Draft and Final Transition-Out Plan	Annually Submit draft within 6 months after contract start date. Final plan within 10 business days of receiving Ginnie Mae's comments on the draft plan
A006	Information Gathering For eight (8) offices (OIPM, OER, OEDTS, OCM, OMO, OSO, OCFO, and OSPPC)	Annually
A007	Interview Questions, Questionnaire Forms, and Templates for information Gathering For eight (8) offices (OIPM, OER, OEDTS, OCM, OMO, OSO, OCFO, and OSPPC)	Annually per Office
A008	Business Process Flowcharts For eight (8) offices (OIPM, OER, OEDTS, OCM, OMO, OSO, OCFO, and OSPPC)	Annually or as instructed by TPOC/COR.
A009	Assessment Plans For eight (8) offices (OIPM, OER, OEDTS, OCM, OMO, OSO, OCFO, and OSPPC)	Annually

A010	Risk Assessment, Evaluation Report, Concurrence Documents, Risk Register, and Risk and Controls Matrix For eight (8) offices (OIPM, OER, OEDTS, OCM, OMO, OSO, OCFO, and OSPPC)	Annually
A011	Exit Meeting Minutes For eight (8) offices (OIPM, OER, OEDTS, OCM, OMO, OSO, OCFO, and OSPPC)	Annually
A012	Risk Identification and Gap Analysis Report For eight (8) offices (OIPM, OER, OEDTS, OCM, OMO, OSO, OCFO, and OSPPC)	Annually
A013	Interview Summary Report and Concurrences Documents For eight (8) offices (OIPM, OER, OEDTS, OCM, OMO, OSO, OCFO, and OSPPC)	Annually
A014	RCSA Final Assessment Report For eight (8) offices (OIPM, OER, OEDTS, OCM, OMO, OSO, OCFO, and OSPPC)	Annually
A015	RCSA Tools, Forms, Templates, and Questionnaires	Annually
A016	Support RCSA Program Activities	Annually
A017	Draft and Final Charter	Annually
A018	Draft and Final Policy	Annually
A019	Draft and Final SOP	Annually
A020	RCSA Supporting Documentation As directed by the COR	Annually
A021	Draft and Final ERM Program Tri-fold	Annually
A022	Monitoring and Tracking Reports of Corrective Actions and Mitigation Plans	Annually

For eight (8) offices (OIPM, OER, OEDTS, OCM, OMO, OSO, OCFO, and OSPPC)

A023	RCSA Mid-Year Corrective Action Follow-up Review	Semi-Annually
	For eight (8) offices (OIPM, OER, OEDTS, OCM, OMO, OSO, OCFO, and OSPPC)	
A024	Draft and Final RCSA Training Materials	Annually
A025	Draft and Final RCSA Training	Annually
A026	Draft and Final RCSA Special Projects	TBD
A027	Draft proposed QASP	Within 30 calendar days after task order award for review

7 Performance Requirements Summary

The summary chart below lists the contract's primary requirements, the associated performance standards, the expected target performance, and the methods of surveillance. While some contract requirements may not be listed in the chart below, requirements not appearing on the PRS chart do not negate the Contractor's obligation to perform all requirements as specified in the contract. Additionally, HUD reserves all rights and remedies under the provisions and clauses of the contract when performance of any contract requirement, whether or not listed below, is unacceptable.

The contractor will develop a draft Quality Assurance Surveillance Plan (QASP) that assesses and manages services and performances. This draft QASP will be provided to the TPOC and COR within 30 calendar days after task order award for review.

The Government approved a QASP that will be used to provide contract oversight. In conjunction with the Contractor's Quality Control Plan and various other methods of assessing performance, the COR and TPOC may perform on-site reviews and/or other types of verification to determine that the specified target performance requirements have been met.

Regular review of Contractor performance is critical to the overall success of the contract. On a monthly basis, the COR/PM will evaluate the quality of the product or services.

8 Related Documents

The Contractor shall abide by all applicable regulations, publications, manuals, policies, and procedures in the performance of this contract.

Performance Requirement Summary (PRS)

Statements		Standards/AQLs	Incentive/Remedy
5.1	Task One - Program Management		
5.1.1	Program Management Plan	<p>Performance Standards Standard: Completes actions within specified deadlines, and deliverables are accurate and contain all required information.</p> <p>AQL: Final products shall conform to the established requirements of the project with minimal revisions for spelling and grammatical changes.</p>	Quality will be reflected in CPARs rating.
5.1.2	Weekly Status Meetings & Reports	<p>Performance Standards Standard: Completes actions within specified deadlines, and deliverables are accurate and contain all required information.</p> <p>AQL: Final products shall conform to the established requirements of the project with minimal revisions for spelling and grammatical changes.</p>	Quality will be reflected in CPARs rating.
5.1.3	Quality Control Plan	<p>Performance Standards Standard: Completes actions within specified deadlines, and deliverables are accurate and contain all required information.</p> <p>AQL: Final products shall conform to the established requirements of the project with minimal revisions for spelling and grammatical changes.</p>	Quality will be reflected in CPARs rating.

Statements		Standards/AQLs	Incentive/Remedy
5.2	Task Two - Transition Services		

5.2.1 Transition-Out	<p>Performance Standards Standard: Completes actions within specified deadlines, and deliverables are accurate and contain all required information.</p> <p>AQL: Final products shall conform to the established requirements of the project with minimal revisions for spelling and grammatical changes.</p>	Quality will be reflected in CPARs rating.
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Statements	Standards/AQLs	Incentive/Remedy
5.3 Task Three - RCSA Execution		
5.3.1 Kick-Off Meetings	<p>Performance Standards Standard: Completes actions within specified deadlines, and deliverables are accurate and contain all required information.</p> <p>AQL: Final products shall conform to the established requirements of the project with minimal revisions for spelling and grammatical changes.</p>	Quality will be reflected in CPARs rating.
5.3.2 Information/ Documentation	<p>Performance Standards Standard: Completes actions within specified deadlines and deliverables are accurate and contain all required information.</p> <p>AQL: Final products shall conform to the established requirements of the project with minimal revisions for spelling and grammatical changes.</p>	Quality will be reflected in CPARs rating.
5.3.2.1 Information Gathering	<p><u>Performance Standards</u> Standard: Completes actions within specified deadlines, and deliverables are accurate and contain all required information.</p> <p>AQL: Final products shall conform to the established requirements of the project with minimal revisions for spelling and grammatical changes.</p>	Quality will be reflected in CPARs rating.

5.3.2.2	Document and Flowchart Business Processes	<p><u>Performance Standards</u> Standard: Completes actions within specified deadlines and deliverables are accurate and contain all required information.</p> <p>AQL: Final products shall conform to the established requirements of the project with minimal revisions for spelling and grammatical changes.</p>	Quality will be reflected in CPARs rating.
5.3.3	Assessment and Analysis		
5.3.3.1	Assess Risks and Examine Effectiveness of Controls	<p><u>Performance Standards</u> Standard: Completes actions within specified deadlines and deliverables are accurate and contain all required information.</p> <p>AQL: Final products shall conform to the established requirements of the project with minimal revisions for spelling and grammatical changes.</p>	Quality will be reflected in CPARs rating.
5.3.3.2	Analysis and Implementation Strategies	<p><u>Performance Standards</u> Standard: Completes actions within specified deadlines and deliverables are accurate and contain all required information.</p> <p>AQL: Final products shall conform to the established requirements of the project with minimal revisions for spelling and grammatical changes.</p>	Quality will be reflected in CPARs rating.
5.3.3.3	Final Assessment Report	<p><u>Performance Standards</u> Standard: Completes actions within specified deadlines and deliverables are accurate and contain all required information.</p> <p>AQL: Final products shall conform to the established requirements of the project with minimal</p>	Quality will be reflected in CPARs rating.

	revisions for spelling and grammatical changes.	
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Statements		Standards/AQLs	Incentive/Remedy
5.4	Task Four: RCSA Annual Maintenance	<p>Performance Standards Standard: Completes actions within specified deadlines, and deliverables are accurate and contain all required information.</p> <p>AQL: Final products shall conform to the established requirements of the project with minimal revisions for spelling and grammatical changes.</p>	Quality will be reflected in CPARs rating.
5.4.1	RCSA Tools, Questionnaires, and Templates	<p>Performance Standards Standard: Completes actions within specified deadlines, and deliverables are accurate and contain all required information.</p> <p>AQL: Final products shall conform to the established requirements of the project with minimal revisions for spelling and grammatical changes.</p>	Quality will be reflected in CPARs rating.
5.4.2	RCSA Governance Document Updates	<p>Performance Standards Standard: Completes actions within specified deadlines, and deliverables are accurate and contain all required information.</p> <p>AQL: Final products shall conform to the established requirements of the project with minimal revisions for spelling and grammatical changes.</p>	Quality will be reflected in CPARs rating.
5.4.3	Corrective Actions	<p><u>Performance Standards</u> Standard: Completes actions within specified deadlines and deliverables are accurate and contain all required information.</p> <p>AQL: Final products shall conform to the established requirements of the project with minimal revisions for spelling and grammatical changes.</p>	Quality will be reflected in CPARs rating.

5.4.4	Assist in the RCSA Mid-Year Corrective Action Follow-up Reviews	<p>Performance Standards Standard: Completes actions within specified deadlines, and deliverables are accurate and contain all required information.</p> <p>AQL: Final products shall conform to the established requirements of the project with minimal revisions for spelling and grammatical changes.</p>	Quality will be reflected in CPARs rating.
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Statements		Standards/AQLs	Incentive/Remedy
5.5	Task Five - RCSA Training	<p>Performance Standards Standard: Completes actions within specified deadlines, and deliverables are accurate and contain all required information.</p> <p>AQL: Final products shall conform to the established requirements of the project with minimal revisions for spelling and grammatical changes.</p>	Quality will be reflected in CPARs rating.

Statements		Standards/AQLs	Incentive/Remedy
5.6	Task Six - Special Projects	<p>Performance Standards Standard: Completes actions within specified deadlines, and deliverables are accurate and contain all required information.</p> <p>AQL: Final products shall conform to the established requirements of the project with minimal revisions for spelling and grammatical changes.</p>	Quality will be reflected in CPARs rating.

9 Appendix - Key Personnel

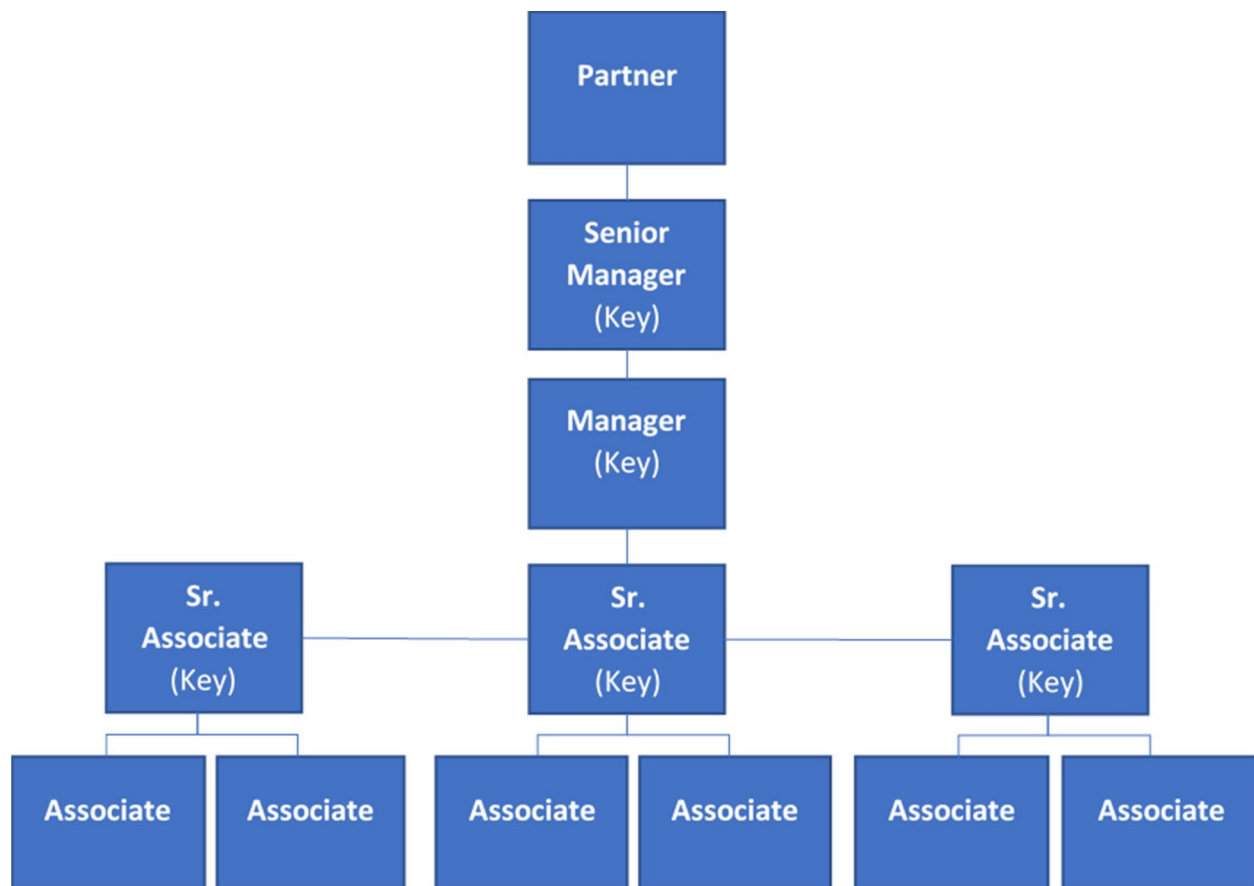
9.1 Key Personnel Substitution

The Contractor shall not replace any personnel designated as Key Personnel without the written concurrence of the CO. Prior to utilizing other than personnel specified at time of proposal submission, the Contractor shall notify the Government CO and the COR. This notification shall be no later than ten (10) calendar days in advance of any proposed substitution and shall include justification (including resume(s) and labor category of proposed substitution(s)) in sufficient detail to permit evaluation of the impact on TO performance. Substitute personnel qualifications shall be equal to, or greater than, those of the personnel being substituted.

9.2 Required Key Personnel

The Contractor shall propose their own staffing structure. The chart below represents a recommended structure for the Contractor to consider when developing their team structure.

Chart A (Below): Key Personnel Minimum Team Structure



This Contract requires several Key Personnel. The following personnel are considered Key Personnel by the Government and shall be listed as such in accordance with HUDA HUDAR 2452.237-70, "Key Personnel":

- a. Senior Manager/Program Manager (as needed)

- b. Manager (FTE)
- c. Senior Associate (FTE)
- d. Senior Associate (FTE)
- e. Senior Associate (FTE)

Ginnie Mae does not expect positions titled “as needed” to work full time on this TO.

9.3 Key Personnel Experience and Qualifications

Key Personnel must have the following experience:

- a. **Senior Manager/Program Manager:** (As needed)
 1. Seven (7)+ years of experience performing and participating in a variety of types of audits (A-123, RCSA, etc.), internal controls, flowcharting, and risk assessments.
 2. Experienced in providing guidance and direction for specific projects, or sub-task, and increasing responsibility in design, implementation and management of projects.
 3. Experienced in providing risk consulting and knowledge of risk management.
 4. Minimum BA/BSMA/MS preferred.
 5. Governance, Risk and Compliance industry designations such as CPA, CISA, CIA, CFE, COSO or relevant industry experience is required.
- b. **Manager:** (FTE)
 1. Five (5)+ years of experience performing and participating in RCSA audits, internal controls, flowcharting, and risk assessments.
 2. Experienced in providing guidance and direction for specific projects, or sub-task, and increasing responsibility in design, implementation, and management of projects.
 3. Minimum BA/BS, MA/MS preferred.
 4. Governance, Risk and Compliance industry designations such as CISA, CIA, CFE, COSO or relevant industry experience is required.
 5. Intermediate level proficiency in ARIS software flowsheets
- c. **Senior Associate:** (FTE)
 1. Three (3)+ years of experience performing and participating in RCSA audits, internal controls, flowcharting, and risk assessments.
 2. Experienced in providing guidance and direction for specific projects, or sub-task, and increasing responsibility in design, implementation, and management of projects.
 3. Minimum BA/BS, MA/MS preferred.
 4. Relevant industry experience is preferable.
 5. Must have experience reporting to multiple stakeholders, providing frequent updates, and effective communication in a fast-paced environment.
 6. Must have experience creating clear, concise, and errorless emails, documents, and presentations.
 7. Strong interpersonal, written, and verbal communication skills.
 8. Strong proficiency in MS Office products (Excel, PowerPoint, Word, Access)

9. Intermediate level proficiency in ARIS software flowsheets

9.4 Non-Key Personnel Experience and Qualifications

d. **Partner/Managing Director:** (As needed)

1. Ten (10)+ years of experience performing and participating in a variety of types of audits (A-123, RCSA, etc.), internal controls, flowcharting, and risk assessments.
2. Experience in providing guidance and direction for specific projects, or sub-task, and increasingly responsibility in design, implementation, and management of projects.
3. Minimum BA/BS, MA/MS preferred. Governance, Risk and Compliance industry designations such as CGFM, PMP, CPA, CISA, CIA, CFE, COSO or relevant field experience is preferred.

e. **Associate:** (FTE)

1. Must possess an undergraduate degree and/or experience in participating in projects as a team member.
2. Must be detail-oriented, fully acclimated to a fast-paced environment, and be a self-starter.
3. Must have experience reporting to multiple stakeholders, providing frequent updates, and effective communication in a fast-paced environment.
4. Must have experience creating clear, concise, and errorless emails, documents, and presentations.
5. Strong interpersonal, written, and verbal communication skills.
6. Strong proficiency in MS Office products (Excel, PowerPoint, Word, Access)
7. Beginner level proficiency in ARIS software flowsheets